

APPENDIX VI

BANK INDONESIA CIRCULAR LETTER

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ON

OPERATION OF REAL TIME FUND SETTLEMENT

THROUGH SISTEM BANK INDONESIA-REAL TIME GROSS SETTLEMENT

SCOPE OF SECURITY AUDIT OF SISTEM BI-RTGS PARTICIPANT

The minimum scope of security audit is as follows:

1. Governance

Audit toward the governance function in its relation to BI-RTGS participation, includes:

a. Human Resources (HR)

This aspect explains audited HR including observation of HR quality at the BI-RTGS System working unit, in the aspect of competency and track record compared to the requirements. HR competency includes operational and technical understanding on BI-RTGS System in accordance with their tasks and authorities. Track record audit aims to ensure that HR, who is authorized to perform functions in BI-RTGS System, has a decent moral. In addition, it must be recognized that training provided for employees aim to increase their capability.

b. Law

This aspect explains the audited legal grounds including the quality of contracts/agreements with system vendors/suppliers and BI-RTGS System supporting equipment compared to a Participant's internal regulation and Bank

Indonesia regulation on implementation of real time Fund Settlements through BI-RTGS System.

2. Environment

Audit toward the environment where BI-RTGS located, includes:

a. Power Supply

This aspect explains the condition of power used and ensures that a Participant has properly functioning Uninterruptible Power Supply (UPS).

b. Air Conditioner

This aspect explains the condition air conditioner used by a Participant.

c. Fire Management

This aspect explains the procedures for fire prevention, detection, and fighting.

d. Location/Placement of Complete Indoor Information Technology (IT) Devices (RPP Server, Workstation, and Printer)

This aspect explains how IT devices are placed in a room.

e. Room Location in a Building

This aspect explains room location in a building. It relates to the required security standard.

f. Room Access

This aspect explains a Participant's control of their employees entering the rooms of main server RPP, backup server RPP, and workstation.

3. System

Audit toward the configuration and condition of Sistem BI-RTGS (RPP Main Server and RPP Backup Server) and other relevant systems, covers:

a. Hardware

This aspect explains the configuration of BI-RTGS System hardware; among others are RPP server, RPP workstation, and printer, including Participant's compliance with the minimum requirements for the PC used.

b. Software

This aspect explains the application installed on RPP, operating system reliability (including upgrade/patch), encryption when connected with the internal system, password control, and antivirus used.

c. DCN Device

This aspect explains DCN configuration of BI-RTGS System at a Participant, including the connection/linkage with other systems (equipped with network figure), network cabling condition, and active and passive networks (i.e. hub, router, and modem).

4. Backup System

a. This aspect explains audit of availability of backup RPP server, communication system, and backup data.

b. Function Audit

This aspect explains audit of functions of backup RPP server, communication system, and backup system as well as fulfillment of minimum requirements for transaction processing in Emergencies. Documentation will be audited in the event of backup system test.

5. Disaster Recovery Plan (DRP)

This aspect explains audit of adequate DRP availability, periodic DRP trials, and DRP update following to any advancement.

6. Data and Documentation

Audit of data management, data processing, and required documents includes:

a. Data Integrity

This aspect explains audit of data accuracy, reliability, and completeness according to the needs.

b. Log Book

This aspect explains audit of log book availability to identify an errors in the operation and administration of BI-RTGS System.

c. Documentation of Transaction Results and Backup Transaction Results

This aspect explains audit of management of transaction results and backup transaction results in soft copy and hard copy.

d. Administration/Documentation of Main RPP and Backup RPP Trial Results

This aspect explains audit of administration of main RPP and/or backup RPP trial result documents.

BANK INDONESIA, *(countersigned)*

(signed)

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